

APR 04 2005

Atty Docket No. 019748-000110US

PTO FAX NO.: (703) 872-9306

## OFFICIAL COMMUNICATION

### MAIL STOP RCE

#### CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that the following documents in re Application of JIVENDRA K. KALE et al., Application No. 09/672,116, filed September 27, 2000 for INVESTMENT PORTFOLIO CONSTRUCTION METHOD AND SYSTEM are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

#### Documents Attached

- 1) Request For Continued Examination (RCE) (1 p in duplicate);
- 2) Petition For Extension of Time (1 p in duplicate); and
- 3) Amendment (9 pp).

Number of pages being transmitted, including this page: 14

Dated: April 4, 2005

  
Diane Hawley

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Fax: 650-326-2422

60435953 v1

APR 4 2005

PTO/SB/90 (08-04)

Request for Continued Examination (RCE) Transmittal	
Application Number	09/672,116
Filing Date	September 27, 2000
First Named Inventor	Kale, Jivendra K.
Art Unit	3624
Examiner Name	COLBERT, ELLA
Attorney Docket Number	Q19748-000110US

Address to:  
Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1460  
Alexandria, VA 22313-1450

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application. Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

- a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.
- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_
- ii. ☐ Other \_\_\_\_\_
- b. ☒ Enclosed
- i. ☒ Amendment/Reply
- ii. ☐ Affidavit(s)/ Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☐ Other \_\_\_\_\_

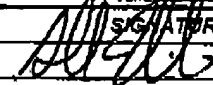
2. **Miscellaneous**

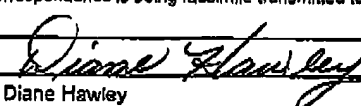
- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(l) required)
- b. ☐ Other \_\_\_\_\_

3. **Fees**

- The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.
- a. ☒ The Director is hereby authorized to charge the following fees, charge any additional fee(s) or underpayments of fee(s) or credit any overpayments, to Deposit Account No. 20-1430. I have enclosed a duplicate copy of this sheet.
- i. ☒ RCE fee required under 37 CFR 1.17(e) (\$395.00)
- ii. ☒ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☐ Other \_\_\_\_\_
- b. ☐ Check in the amount of \$ \_\_\_\_\_ enclosed
- c. ☐ Payment by credit card (Form PTO-2036 enclosed)

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED			
Signature		Date	April 4, 2005
Name (Print /Type)	Ardashir Tasibi	Registration No.	48,760

CERTIFICATE OF MAILING OR TRANSMISSION			
I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office, Fax No. (703) 872-9308 on April 4, 2005.			
Signature		Date	April 4, 2005
Name (Print /Type)	Diane Hawley	Date	April 4, 2005

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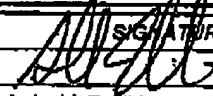
PTO/SB/30 (09-04)

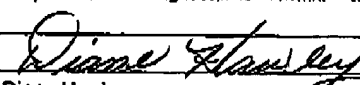
<b>Request for Continued Examination (RCE) Transmittal</b>  Address to: Mail Stop RCE Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	Application Number	09/672,116
	Filing Date	September 27, 2000
	First Named Inventor	Kale, Jivendra K.
	Art Unit	3624
	Examiner Name	COLBERT, ELLA
	Attorney Docket Number	019748-000110US

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- iii. ☐ Other \_\_\_\_\_
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Signature		Date	April 4, 2005
Name (Print /Type)	Ardeshir Tabibi	Registration No.	48,750

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Signature		Date	April 4, 2005
Name (Print /Type)	Diane Hawley	Date	April 4, 2005

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